

PATENT

11785-3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	Group Art Unit: to be assigned
)	
SZALAY, Aladar A. et al.)	Examiner: to be assigned
)	
Serial No.: 09/786,337 09/786377)	
)	
Filed: March 1, 2001)	
)	
For: Method for Studying Protein)	
Interactions <i>in Vivo</i>)	Pasadena, California
)	

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DEC 18 2001
TECHNOLOGY CENTER 2000

TRANSMITTAL LETTER FOR REPLACEMENT COPY OF COMPUTER-READABLE
FORM OF SEQUENCE LISTING DUE TO LOSS OF ORIGINAL COPY BY THE
PATENT AND TRADEMARK OFFICE

United States Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Attention: Box PCT

Sir:

As requested by John Anderson of the United States Patent and Trademark

Office, 703/308-0116, enclosed is a substitute copy of the documents originally sent on

"EXPRESS MAIL" mailing label number EL716479708US

Date of Deposit **December 7, 2001**

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

Elaine Porter
Signature

ELAINE PORTER
Typed or Printed Name of Person Mailing Paper

PATENT

11785-3

May 9, 2001 along with a computer readable form of the sequence listing, to replace the copies lost by the Patent Office. Also enclosed is a copy of the postcard returned from United States Patent and Trademark Office dated May 14, 2001 showing that the United States Patent and Trademark Office did receive the Computer-Readable copy of the sequence listing sent on May 9, 2001.

No fee is believed due with this communication as the need to submit an substitute copy of the computer-readable form of the sequence listing was due to loss of the originally submitted copy by the United States Patent and Trademark Office. However, the Commissioner is authorized to charge payment of any fees believed due with this communication to Deposit Account No. 19-2090.

Respectfully submitted,

SHELDON & MAK
a Professional Corporation

Date: December 7, 2001

By David A. Farah
David A. Farah, M.D.
Reg. No. 38,134

Sheldon & Mak
225 South Lake Avenue
9th Floor
Pasadena, California 91101
626/796-4000

#3

Re: Application of: SZALAY, Aladar A. et al.
Title: Method for Studying Protein Interactions *in Vivo*

Serial No.: 09/786,377
Docket No.: 11785-3
Date Mailed: May 9, 2001

Filing Date: March 1, 2001
Attorney: David A. Farah, M.D.

The following has been received in the U.S. Receiving Office on the date stamped hereon:

PATENTS:

1. Response to Notification of Missing Requirements Under 35 U.S.C. 371
2. Computer Readable copy of the Sequence Listing
3. Copy of Notification of Missing Requirements Under 35 U.S.C. 371
4. Copy of Notification to Comply With Requirements for Patents Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures

☒ Deposit Account
☒ Certificate of Mailing

☐ Check No. _____ for _____
☐ Certificate of Express Mail _____

JC05 Rec'd PCT/PTO 1 4 MAY 2001

TECHNOLOGY CENTER 2800

DEC 18 2001

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#3

PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	Group Art Unit: to be assigned
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SZALAY, Aladar A. et al.)	Examiner: to be assigned
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Serial No.: 09/786,337)	
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For: Method for Studying Protein)	
Interactions <i>in Vivo</i>)	Pasadena, California
)	

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TECHNICAL SERVICES SECTION

RESPONSE TO NOTIFICATION OF MISSING
REQUIREMENTS UNDER 35 U.S.C. 371

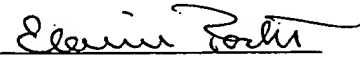
Commissioner for Patents
Box PCT
United States Patent and Trademark Office
Washington, D. C. 20231

Sir:

In response to the Notification of Missing Requirements under 35 U.S.C. 371,
attached with this communication is a computer readable form of the sequence listing as
originally filed in the immediate parent application for the above-identified patent application

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE
U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO:
BOX PCT, COMMISSIONER FOR PATENTS, UNITED STATES PATENT AND
TRADEMARK OFFICE, WASHINGTON, D.C. 20231 ON MAY 9, 2001

BY: ELAINE PORTER



PATENT

11785-3

except that the priority data has been updated to include the serial number of the immediate parent and the computer readable form was produced on PatentIn software version 3.0 rather than the originally prepared PatentIn software version 2.0.

37 CFR 1.1821(f) - I hereby state that the content of the paper copy as originally submitted and the computer readable copy of the Sequence Listing submitted herewith in accordance with 37 CFR 1.1821(c) and (e), respectively, are the same, and include no new matter as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

No fee is believed due with this communication. However, the Commissioner is hereby authorized to charge payment of any fees believed due with this communication to Deposit Account No. 19-2090.

Respectfully submitted,

SHELDON & MAK
a Professional Corporation

Date: May 9, 2001

By David A. Farah
David A. Farah, M.D.
Reg. No. 38,134

Sheldon & Mak
225 South Lake Avenue
9th Floor
Pasadena, California 91101
626/796-4000



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	INTL. DOCKET NO.
09/786377	SZALAY A	11785-3
INTERNATIONAL APPLICATION NO.		

DAVID A FARAH
C/O SHELDON & MAK
225 SOUTH LAKE AVENUE
9TH FLOOR
PASADENA, CA 91101

PCT/US99/20207

I.A. FILING DATE	PRIORITY DATE
02 SEP 99	03 SEP 98

DATE MAILED: 26 APR 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- | | |
|--|---|
| <input checked="" type="checkbox"/> U.S. Basic National Fee. | <input checked="" type="checkbox"/> Indication of Small Entity Status. |
| <input checked="" type="checkbox"/> Copy of the international application. | <input type="checkbox"/> Translation of the international application into English. |
| <input checked="" type="checkbox"/> Oath or Declaration of inventors(s). | <input type="checkbox"/> Translation of Article 19 amendments into English. |
| <input type="checkbox"/> Copy of Article 19 amendments. | <input type="checkbox"/> Other: |
| <input type="checkbox"/> Priority Document. | |
| <input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. | |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. | |

2. ☒ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

- Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875 ☒ PCT/DO/EO/920

John L. Anderson

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-308-9116

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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/786377	SZALAY	A 11785-3
INTERNATIONAL APPLICATION NO.		

DAVID A FARAH
C/O SHELDON & MAK
225 SOUTH LAKE AVENUE
9TH FLOOR
PASADENA, CA 91101

PCT/US99/20207

I.A. FILING DATE	PRIORITY DATE
02 SEP 99	03 SEP 98

DATE MAILED:

26 APR 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☐ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☒ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE
CALL:

(703) 308-4216, for Rules interpretation,
(703) 308-4212, for CRF submission help,
(703) 287-0200, for PatentIn software help.

John L. Anderson

Telephone: 703-308-9116

FORM PCT/DO/EO/920 (March 2001)

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